

eZ-Audit
Use-Case Specification 15: Select an Institution

Version 1.1

eZ-Audit	Version: 1.1
Use-Case Specification 15: Select an Institution	Date: August 7, 2002
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Revision History

Date	Version	Description	Author
July 17, 2002	1.0	Final version created for 7/17 Deliverable Submission	Seth Sinclair
August 7, 2002	1.1	Revised version created for deliverable re-submission	Seth Sinclair

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Use-Case Specification 15: Select an Institution

1. Select an Institution

1.1 Brief Description

When a Case Team User (Audit Resolution Specialist (ARS) or Financial Analyst (FA)) logs in, the System will present to them a queue of all submissions assigned to them for resolution. These are assigned to them by their Co-Team Leader, see extension point Use Case 13 - "Assign Submissions" for details on how submissions are assigned to a Case Team Member. From this queue, the Case Team user can select a specific institution record and then have access to functions such as viewing the submission, uploading any necessary letters, and completing any other resolution tasks. This Use Case focuses on the Case Team User's ability to see their assigned queue and select an institution record.

2. Flow of Events

2.1 Basic Flow

1) ARS actor logs into the system

The System verifies the user's role of "ARS" through the Log-In Process. See Extension Point - Use Case 3 "Login to System" for details of the Log In Process.

2) System presents the ARS Home Page with "My Queue" Displayed

The system presents a queue to the ARS Actor listing any submissions assigned to them for resolution. For each institution record appearing in the queue, the following data is displayed

- Institution Name (link)
- OPEID
- Fiscal Year End
- Date of Submission
- Submission Type
- Submission Status
- Resolution Due Date
- Reason for Referral to Case (pulled from the screening determination)

The system presents to the ARS actor the option of accessing an individual institution record from the queue. At the top of the page, there are navigation options available to access "My Profile," "Search," "Team Queue," "Reports," and "Manage Users." See Extension Point – Use Case 4 "Maintain User Profile, Use Case 7 "Query," Use Case 26 – "Team Queue," Use Case XX – "Reporting," and Use Case XX – "Manage Users" for details on these functions.

3) ARS Actor Selects an Annual Submission / Annual Resubmission / Stub Audit Institution Record

The ARS actor selects to access an institution record with "Submission Type" set to either Annual Submission, Annual Resubmission, or Stub Audit by clicking on the "Institution Name" within the submission record.

4) System Displays the Institution Record

The System displays the Submission Summary Page. There is a left-navigation bar and a content area. In the content area there are fields at the top of the page displaying

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- Institution Name
- OPEID
- DUNS
- ACN
- Fiscal Year
- Date Submissions Received
- Title IV Eligibility Status
- “All Submissions Current”
- Missing Submissions

There is a section called “Financial Statement” with fields displaying

- Financial Analyst
- Resolution Due Date
- Reason For Flagging
- Years on Zone: Total
- Years on Zone: Consecutive
- Determination
- Determination Date

There is a section called “Compliance Audit” with fields displaying

- Compliance Audit Specialist
- Resolution Due Date
- Reason for Referral

There is left navigation bar providing the ability to navigate through information for the selected institution’s submission and access or view tasks. These links include:

Link	Destination
eZ-Audit Home	Returns User to “My Queue” Page
Summary Page	Returns User to Page described above.
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
Program and Audit Information	Displays a read-only version of the Program and Audit Statements Information Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
Update Findings	Displays a page where the ARS can manipulate finding codes assigned by the Screener – See Extension Point Use Case 10 “Code Findings”
Upload PADL	Displays the PADL Page – See Extension Point Use Case 16 “Upload PADL”
Upload FAD	Displays the FAD Page – See Extension Point Use Case 19 “Upload FAD”
Complete ACD	Displays the ACD Page – See Extension Point Use Case 21 “Complete ACD”

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Link	Destination
Complete DDIF	Displays the DDIF Page – See Extension Point Use Case 20 “Complete DDIF”
Send to Co-Team Leader for Approval	Displays the “Submit to Co-Team Leader for Approval Page” – See Extension Point Use Case 17 “Send to Co-Team Leader for Approval”
View Determination for Financial Statement	Displays a read-only version of the Financial Statement determination – See Extension Point Use Case 23 “Create Determination for Financial Statement”
Recalculate Scores and Ratios	Displays a read-only version of the Composite Score Page – See Extension Point Use Case 22 “Recalculate Scores and Ratios”
Notes	Displays the Notes Page
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”

2.2 Alternative Flows

2.2.1 FA Logs into the System

From Step 1 of the Basic Flow, the system identifies the user as having the role of Financial Analyst.

1) System presents the FA Home Page with “My Queue” Displayed

The system presents a queue to the FA Actor listing any submissions assigned to them for resolution. For each institution record appearing in the queue, the following data is displayed

- Institution Name (link)
- OPEID
- Fiscal Year End
- Date of Submission
- Submission Type
- Submission Status
- Resolution Due Date
- Reason for Referral to Case (pulled from the screening determination)

The system presents to the FA actor the option of accessing an individual institution record from the queue. At the top of the page, there are options available to access “My Profile,” “Search,” or “Team Queue.”

2) FA Actor Selects an Annual Submission / Annual Resubmission / Stub Audit Institution Record

The FA actor selects to access an institution record with “Submission Type” set to either Annual Submission, Annual Resubmission, or Stub Audit by clicking on the “Institution Name” within the submission record.

3) System Displays the Institution Record

The System displays the Institution Summary Page. There is a left-navigation bar and a content area. In the content area there are fields at the top of the page displaying

- Institution Name
- OPEID
- DUNS
- ACN
- Fiscal Year

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- Date Submissions Received
- Title IV Eligibility Status
- “All Submissions Current”
- Missing Submissions

There is a section called “Financial Statement” with fields displaying

- Financial Analyst
- Resolution Due Date
- Reason For Flagging
- Years on Zone: Total
- Years on Zone: Consecutive
- Determination
- Determination Date

There is a section called “Compliance Audit” with fields displaying

- Compliance Audit Specialist
- Resolution Due Date
- Reason for Referral

There is left navigation bar providing the ability to navigate through information for the selected institution’s submission and access or view tasks. These links include:

Link	Destination
eZ-Audit Home	Returns User to “My Queue” Page
Summary Page	Returns User to page described above.
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
Program and Audit Information	Displays a read-only version of the Program and Audit Statements Information Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
Create Determination for Financial Statement	Displays a the Financial Statement determination page – See Extension Point Use Case 23 “Create Determination for Financial Statement”
Recalculate Scores and Ratios	Displays the Composite Score and Ratios – See Extension Point Use Case 22 “Recalculate Scores and Ratios”
Send to Co-Team Leader for Approval	Displays the “Submit to Co-Team Leader for Approval Page” – See Extension Point Use Case 17 “Send to Co-Team Leader for Approval”
View Findings	Displays a page where the ARS can manipulate finding codes assigned by the Screener – See Extension Point Use Case 10 “Code Findings”
Upload PADL	Displays a read-only version of the PADL Page – See Extension Point Use Case 16 “Upload PADL”
Upload FAD	Displays a read-only version of the FAD Page – See Extension

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Link	Destination
	Point Use Case 19 "Upload FAD"
Complete ACD	Displays a read-only version of the ACD Page – See Extension Point Use Case 21 "Complete ACD"
Complete DDIF	Displays a read-only version of the DDIF Page – See Extension Point Use Case 20 "Complete DDIF"
Notes	Displays the Notes Page
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 "Correspondence Log"

3. Special Requirements

3.1 Case User Selects Institution Submission with Type other than Annual, Resubmission, or Stub

From Step 2 of the Basic flow, the Case Users selects to view a submission with Submission Type of "Closeout." The following left navigation options are presented:

Link	Destination
eZ-Audit Home	Returns User to "My Queue" Page
Summary Page	Returns User to the Submission Summary page.
Program and Audit Information	Displays a read-only version of the Program and Audit Statements Information Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 "Create Submission"
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 "Create Submission"
Update Findings	Displays a page where the ARS can manipulate finding codes assigned by the Screener – See Extension Point Use Case 10 "Code Findings"
Upload PADL	Displays the PADL Page – See Extension Point Use Case 16 "Upload PADL"
Upload FAD	Displays the FAD Page – See Extension Point Use Case 19 "Upload FAD"
Complete ACD	Displays the ACD Page – See Extension Point Use Case 21 "Complete ACD"
Complete DDIF	Displays the DDIF Page – See Extension Point Use Case 20 "Complete DDIF"
Send to Co-Team Leader for Approval	Displays the "Submit to Co-Team Leader for Approval Page" – See Extension Point Use Case 17 "Send to Co-Team Leader for Approval"
Notes	Displays the Notes Page
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 "Correspondence Log"

For a Submission Type of "Reinstatement/Initial Application," the following left navigation options are presented:

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Link	Destination
eZ-Audit Home	Returns User to “My Queue” Page
Summary Page	Returns User to page described above.
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
Create Determination for Financial Statement	Displays a the Financial Statement determination page – See Extension Point Use Case 23 “Create Determination for Financial Statement”
Recalculate Scores and Ratios	Displays the Composite Score and Ratios – See Extension Point Use Case 22 “Recalculate Scores and Ratios”
Send to Co-Team Leader for Approval	Displays the “Submit to Co-Team Leader for Approval Page” – See Extension Point Use Case 17 “Send to Co-Team Leader for Approval”
Notes	Displays the Notes Page
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”

For a Submission Type of “Change in Ownership,” the following left navigation options are presented:

Link	Destination
eZ-Audit Home	Returns User to “My Queue” Page
Summary Page	Returns User to page described above.
Financial Statements Information	Displays a read-only version of the Financial Statements Information Page Submitted by the Institution (w/links to the Financial Statements) – See Extension Point Use Case 9 “Create Submission”
Completeness Checklist	Displays a read-only version of the Completeness Checklist Page Submitted by the Institution – See Extension Point Use Case 9 “Create Submission”
View Uploaded Documents	Displays a page where the Case User Can Access any Attachments uploaded as part of the Institution Submission – See Extension Point Use Case 9 “Create Submission”
Create Determination for Financial Statement	Displays a the Financial Statement determination page – See Extension Point Use Case 23 “Create Determination for Financial Statement”
Recalculate Scores and Ratios	Displays the Composite Score and Ratios – See Extension Point Use Case 22 “Recalculate Scores and Ratios”
Send to Co-Team Leader for Approval	Displays the “Submit to Co-Team Leader for Approval Page” – See Extension Point Use Case 17 “Send to Co-Team Leader for Approval”
Notes	Displays the Notes Page
Correspondence Log	Displays the Correspondence Log Page – See Extension Point Use Case 18 “Correspondence Log”

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3.2 Additional Information Submitted

When an institution submits additional information for any previously made submission, the system will present a link on the left navigation bar of the institution record. This page will allow the Case User to view the additional information submitted..

4. Preconditions

4.1 ARS User Assigned System Role of “Audit Resolution Specialist”

The ARS User’s profile was created/saved as the ARS Role in the User Management Area of eZ-Audit.

4.2 FA User Assigned System Role of “Financial Analyst”

The FA User’s profile was created/saved as the FA Role in the User Management Area of eZ-Audit.

5. Postconditions

5.1 User Ability to Navigate Institution Record

The ARS or Financial Analyst will have the ability to access the institution submission, resolution tasks, and return to their Home queue.

6. Extension Points

6.1 Use Case 3 “Login to System”

Outlines eZ-Audit User’s ability to sign in to the system.

6.2 Use Case 4 “Maintain User Profile”

Explains the User Profile Page and how this data is managed.

6.3 Use Case 7 “Query”

Defines the functions of the Archive page and how records are retrieved.

6.4 Use Case 9 “Create Submission”

Defines the data elements and submission process for an Institution User.

6.5 Use Case 13 “Assign Submissions”

Explains Co-Team Leader’s ability to assign submissions to a Case Team member.

6.6 Use Case 16 “Upload PADL”

Defines the process behind attaching and tracking the PADL letter.

6.7 Use Case 17 “Send to Co-Team Leader for Approval”

Outlines a Case Team User’s ability to send a resolution package to a Co-Team leader for approval.

6.8 Use Case 18 “Correspondence Log”

Allows Case Team Users to track key dates for sending and receiving correspondence.

6.9 Use Case 19 “Upload FAD”

Defines the process behind attaching and tracking the FAD letter.

6.10 Use Case 20 “Complete DDIF”

Defines the process behind completing and saving the DDIF form.

6.11 Use Case 21 “Complete ACD”

Defines the process behind completing and saving the ACD form.

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6.12 Use Case 22 “Recalculate Composite Scores and Ratios”

Covers the Financial Analyst’s ability to perform recalculations on submitted data.

6.13 Use Case 23 “Create Determination for Financial Statement”

Explains the FA’s process for selecting a resolutions and uploading any needed letters.

7. Requirements

This Use Case pertains to navigation functionality created as a result of system design analysis. This does not map to specific requirements.

GEN1244 The system will allow ED Users to enter their "analysis" regarding the resolution of compliance audits.

GEN1245 The system will allow ED Users to enter their "analysis" regarding the resolution of financial statements.